

Declaration for Patent Application

COPY

Docket Number: 1522.0030004MAC/BJD

As a below named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated below next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled: Compositions and Methods for Non-targeted Activation of Endogenous Genes, the specification of which is attached hereto unless the following box is checked:

- ☒ was filed on March 26, 1999;
as United States Application Number or PCT International Application Number 09/276,820; and
was amended on _____ (if applicable).

I hereby state that I have reviewed and understand the contents of the above identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56.

I hereby claim foreign priority benefits under 35 U.S.C. § 119(a)-(d) or § 365(b) of any foreign application(s) for patent or inventor's certificate, or § 365(a) of any PCT international application, which designated at least one country other than the United States listed below, and have also identified below any foreign application for patent or inventor's certificate, or PCT international application having a filing date before that of the application on which priority is claimed.

Prior Foreign Application(s)

Priority Claimed

☐ Yes ☐ No

☐ Yes ☐ No

I hereby claim the benefit under 35 U.S.C. § 119(e) of any United States provisional application(s) listed below.

(Application No.) (Filing Date)

(Application No.) (Filing Date)

I hereby claim the benefit under 35 U.S.C. § 120 of any United States application(s), or under § 365(c) of any PCT international application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States or PCT international application in the manner provided by the first paragraph of 35 U.S.C. § 112, I acknowledge the duty to disclose information that is material to patentability as defined in 37 C.F.R. § 1.56 that became available between the filing date of the prior application and the national or PCT international filing date of this application.

09/263,814 March 8, 1999 Pending
(Application No.) (Filing Date) (Status - patented, pending, abandoned)

09/253,022 February 19, 1999 Pending
(Application No.) (Filing Date) (Status - patented, pending, abandoned)

09/159,643 September 24, 1998 Abandoned
(Application No.) (Filing Date) (Status - patented, pending, abandoned)

08/941,223 September 26, 1997 Abandoned
(Application No.) (Filing Date) (Status - patented, pending, abandoned)

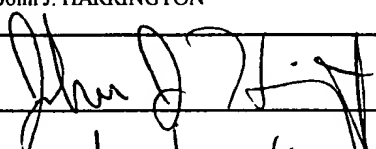

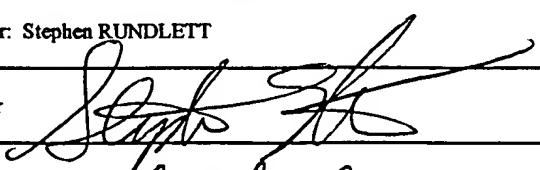
Send Correspondence to:

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C.
1100 New York Avenue, N.W.
Suite 600
Washington, D.C. 20005-3934

Direct Telephone Calls to:

(202) 371-2600

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full name of sole or first inventor: John J. HARRINGTON	
Signature of sole or first inventor	 7/1/99 Date
Residence	6487 Meadowbrook Dr., Mentor OH 44060
Citizenship	USA
Post Office Address	6487 Meadowbrook Dr., Mentor OH 44060
Full name of second inventor: Bruce SHERF	
Signature of second inventor	 7/1/99 Date
Residence	7012 Avon Lk Rd, Spencer, OH, 44275
Citizenship	USA
Post Office Address	7012 Avon Lk. Rd, Spencer, OH, 44275
Full name of third inventor: Stephen RUNDLETT	
Signature of third inventor	 7/1/99 Date
Residence	703 Bell Rd. Chagrin Falls, OH, 44022
Citizenship	USA 70
Post Office Address	703 Bell Rd. Chagrin Falls, OH 44022

(Supply similar information and signature for subsequent joint inventors, if any)

Attorney's Docket No. 5817-7

PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

First Named Inventor: Harrington et al.

Group Art Unit: 1632

Application No.: 09/276,820

Examiner Name: Shukla, R.

Filed: March 26, 1999

For: COMPOSITIONS AND METHODS FOR
NON-TARGETED ACTIVATION OF
ENDOGENOUS GENES

Assistant Commissioner for Patents
Washington, DC 20231

REVOCATION OF POWER OF ATTORNEY
AND NEW POWER OF ATTORNEY BY ASSIGNEE

Sir:

Assignee hereby revokes all powers of attorney previously granted with respect to the above-identified patent application, and appoints the practitioners associated with the Customer Number provided below to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and directs that all correspondence be addressed to that Customer Number:

Customer Number 000826

with full power of substitution and revocation to transact all business in the Patent and Trademark Office in connection therewith.

Please direct all communications to the attention of:

Anne Brown

Registration No. 36,463

Tel Raleigh Office (919) 420-2200

Fax Raleigh Office (919) 420-2260

Assignee hereby elects under 37 C.F.R. § 3.71 to prosecute this patent application and certifies that it is the assignee of the entire right, title, and interest in the patent application identified above, and in any divisionals or continuations thereof, by virtue of:

An assignment from the inventors of the patent application identified above.

The assignment was recorded in the Patent and Trademark Office at Reel 010064,
Frames 0420.

009220-2651560

In re: Harrington et al.
Appl. No.: 09/276,820
Filed: Filed: March 26, 1999
Page 2

The undersigned (whose title is supplied below) is empowered to sign this certificate on behalf of the Assignee.

ATHERSYS, INC.

By:



James J. Kovach

(Print or type name of person signing)

Title: Chief Operating Officer

Date: 12/15/99

ALSTON & BIRD LLP
Post Office Drawer 34009
Charlotte, NC 28234-4009
Tel Raleigh Office (919) 420-2200
Fax Raleigh Office (919) 420-2260

CERTIFICATION OF FACSIMILE TRANSMISSION

I hereby certify that this paper is being facsimile transmitted to the Patent and Trademark Office at Fax No. _____ on the date shown below.

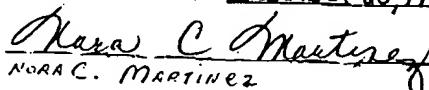
(Type or print name of person signing certification.) _____

Signature _____

Date _____

CERTIFICATE OF MAILING

I hereby certify that this correspondence is being deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Assistant Commissioner For Patents, Washington, DC 20231, on December 20, 1999.


NORA C. MARTINEZ

RTA01/2071424v1

SCANNED 4

COPY

Statement Claiming Small Entity Status
(37 C.F.R. §§ 1.9(d) and 1.27(c)) -- Small Business Concern

Applicant or Patentee: John J. HARRINGTON, Bruce SHBRE and Stephen RUNDLETTAppl. or Patent No.: 09/276,820Attorney Docket No. 1522.0030004/MAC/BJDFiled or Issued: March 26, 1999For: Compositions and Methods for Non-targeted Activation of Endogenous Genes

I hereby state that I am

- ☐ the owner of the small business concern identified below:
☒ an official of the small business concern empowered to act on behalf of the concern identified below:

NAME OF SMALL BUSINESS CONCERN Athersys, Inc.ADDRESS OF SMALL BUSINESS CONCERN 11000 Cedar Avenue, Cleveland, Ohio 44106

I hereby state that the above identified small business concern qualifies as a small business concern as defined in 13 C.F.R. § 121.3-18, and reproduced in 37 C.F.R. § 1.9 (d), for purposes of paying reduced fees under section 41(a) and (b) of Title 35, United States Code, in that the number of employees of the concern, including those of its affiliates, does not exceed 500 persons. For purposes of this statement, (1) the number of employees of the business concern is the average over the previous fiscal year of the concern of the persons employed on a full-time, part-time or temporary basis during each of the pay periods of the fiscal year, and (2) concerns are affiliates of each other when either, directly or indirectly, one concern controls or has the power to control the other, or a third party or parties controls or has the power to control both.

I hereby state that rights under contract or law have been conveyed to and remain with the small business concern identified above with regard to the invention described in:

- ☐ the specification filed herewith with title as listed above.
☒ the application identified above.
☐ the patent identified above.

If the rights held by the above identified small business concern are not exclusive, each individual, concern or organization having rights in the invention must file separate statements indicating their status as small entities, and no rights to the invention are held by any person, other than the inventor, who would not qualify as an independent inventor under 37 C.F.R. § 1.9(c) if that person made the invention or by any concern which would not qualify as a small business concern under 37 C.F.R. § 1.9(d) or a nonprofit organization under 37 C.F.R. § 1.9(e).

Each person, concern or organization having any rights in the invention (other than the small business concern named above) is listed below:

- ☒ no such person, concern, or organization exists.
☐ each person, concern, or organization is listed below.

NAME _____

ADDRESS _____

☐ INDIVIDUAL☒ SMALL BUSINESS CONCERN☐ NONPROFIT ORGANIZATION

Separate statements are required from each named person, concern or organization having rights to the invention averring to their status as small entities. (37 C.F.R. § 1.27)

I acknowledge the duty to file, in this application or patent, notification of any change in status resulting in loss of entitlement to small entity status prior to paying, or at the time of paying, the earliest of the issue fee or any maintenance fee due after the date on which status as a small entity is no longer appropriate. (37 C.F.R. § 1.28(b))

NAME OF PERSON SIGNING _____

TITLE IN ORGANIZATION _____

ADDRESS OF PERSON SIGNING _____

SIGNATURE _____

DATE _____

Certificate Under 37 C.F.R. § 3.73(b)

Applicant/Patent Owner: John J. HARRINGTON, Bruce SHERF and Stephen RUNDLETTApplication No./Patent No.: 09/276,820Filed/Issue Date: March 26, 1999Entitled: Compositions and Methods for Non-targeted Activation of Endogenous GenesAthersys, Inc.

(Name of Assignee)

a Corporation

(Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest, or
2. ☐ an assignee of an undivided part interest

in the patent application/patent identified above by virtue of either:

- A. ☒ An Assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.

OR

- B. ☐ A chain of title from the inventor(s) of the patent application/patent identified above to the current assignee as shown below:

1. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

2. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

3. From: _____ To: _____
The document was recorded in the Patent and Trademark Office at
Reel _____, Frame _____, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.

☒ Copies of assignments or other documents in the chain of title are attached.

NOTE: A separate copy (i.e., the original assignment document or a true copy of the original document) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the PTO. See MPEP 302-302.8]

The undersigned (whose title is supplied below) is empowered to act on behalf of the assignee.

Date: 7/1/99Name: JAMES J. KORSAKTitle: CHIEF OPERATING OFFICERSignature: [Signature]



UNITED STATES DEPARTMENT OF COMMERCE
Patent and Trademark Office
ASSISTANT SECRETARY AND COMMISSIONER
OF PATENTS AND TRADEMARKS
Washington, D.C. 20231

SEPTEMBER 02, 1999

PTAS

STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C
BRIAN J. DEL BUONO
1100 NEW YORK AVE., N.W.
SUITE 600
WASHINGTON, D.C. 20005-3934



101085840A

UNITED STATES PATENT AND TRADEMARK OFFICE
NOTICE OF RECORDATION OF ASSIGNMENT DOCUMENT

THE ENCLOSED DOCUMENT HAS BEEN RECORDED BY THE ASSIGNMENT DIVISION OF THE U.S. PATENT AND TRADEMARK OFFICE. A COMPLETE MICROFILM COPY IS AVAILABLE AT THE ASSIGNMENT SEARCH ROOM ON THE REEL AND FRAME NUMBER REFERENCED BELOW.

PLEASE REVIEW ALL INFORMATION CONTAINED ON THIS NOTICE. THE INFORMATION CONTAINED ON THIS RECORDATION NOTICE REFLECTS THE DATA PRESENT IN THE PATENT AND TRADEMARK ASSIGNMENT SYSTEM. IF YOU SHOULD FIND ANY ERRORS OR HAVE QUESTIONS CONCERNING THIS NOTICE, YOU MAY CONTACT THE EMPLOYEE WHOSE NAME APPEARS ON THIS NOTICE AT 703-308-9723. PLEASE SEND REQUEST FOR CORRECTION TO: U.S. PATENT AND TRADEMARK OFFICE, ASSIGNMENT DIVISION, BOX ASSIGNMENTS, CG-4, 1213 JEFFERSON DAVIS HWY, SUITE 320, WASHINGTON, D.C. 20231.

RECORDATION DATE: 07/02/1999

REEL/FRAME: 010064/0420
NUMBER OF PAGES: 3

BRIEF: ASSIGNMENT OF ASSIGNOR'S INTEREST (SEE DOCUMENT FOR DETAILS).

ASSIGNOR:
HARRINGTON, JOHN J.

DOC DATE: 07/01/1999

ASSIGNOR:
SHERF BRUCE

DOC DATE: 07/01/1999

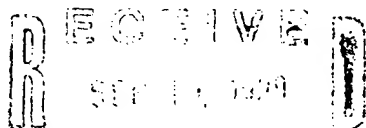
ASSIGNOR:
RUNDLETT, STEPHEN

DOC DATE: 07/01/1999

ASSIGNEE:
ATHERSYS, INC.
1100 CEDAR AVENUE
CLEVELAND, OHIO 44106

SERIAL NUMBER: 09276820
PATENT NUMBER:

FILING DATE: 03/26/1999
ISSUE DATE:



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010064/0420 PAGE 2

DIANE RUSSELE, PARALEGAL
ASSIGNMENT DIVISION
OFFICE OF PUBLIC RECORDS



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Form PTO-1595
6-93



101085840

HEET

U.S. Department of Commerce
Patent and Trademark Office

To the Honorable Commissioner of Patents and Trademarks. Please record the attached original documents or copy thereof.

1. Name of conveying party(ies):

1. John J. HARRINGTON,
2. Bruce SHERF and
3. Stephen RUNDLETT.

Additional name(s) of conveying party(ies) attached? ☐ yes ☒ no

3. Nature of Conveyance:

- ☒ Assignment ☐ Merger
☐ Security Agreement ☐ Change of Name
☐ Other _____

Execution Date(s): July 1, 1999, as to all assignors.

2. Name and address of receiving party(ies)

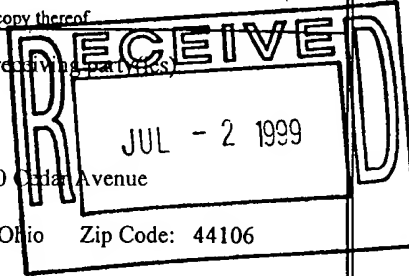
Name: Athersys, Inc.

Street Address: 11000 Cedar Avenue

City: Cleveland State: Ohio Zip Code: 44106

Country: United States

Additional name(s) & address(es) attached? ☐ yes ☒ no



4. Application number(s) or patent number(s):

If this document is being filed together with a new application, the execution date of the application is

A. Patent Application No(s). 09/276,820

B. Patent No(s).

Additional numbers attached? ☐ yes ☒ no

5. Name and address of party to whom correspondence concerning document should be mailed:

Name: Sterne, Kessler, Goldstein & Fox P.L.L.C.

Internal Address: c/o

Street Address: 1100 New York Ave., N.W.
Suite 600

City: Washington State: D.C. Zip Code: 20005-3934

6. Total number of applications and patents involved

1

7. Total fee (37 C.F.R. § 3.41).....\$ 40.00

☐ Enclosed

☐ Authorized to be charged to Deposit Account

8. Deposit Account Number: 19-0036

DO NOT USE THIS SPACE

9. Statement and signature.

To the best of my knowledge and belief, the foregoing information is true and correct and any attached copy is a true copy of the original document.

Brian J. Del Buono
Name of Person Signing
Registration No. 42,473

Brian J. Del Buono
Signature

July 2, 1999
Date

Total number of pages including cover sheet, attachments and document 3

OMB NO. 0651-0011 (exp. 4/94)

07/06/1999 INUYEN 00000208 09276820

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40.00-00

Mail documents to be recorded with required cover sheet information to:
Commissioner of Patents and Trademarks, Box Assignments
Washington, D.C. 20231

ASSIGNMENT

In consideration of the sum of One Dollar (\$1.00) or equivalent and other good and valuable consideration paid to each of the undersigned inventor(s): John J. HARRINGTON, Bruce SHERF and Stephen RUNDLETT, the undersigned inventor(s) hereby sell(s) and assign(s) to Athersys, Inc. (the Assignee) his/her entire right, title and interest, including the right to sue for and collect for all past, present and future damages:

check applicable box(es) ☒ for the United States of America (as defined in 35 U.S.C. § 100),
☒ and throughout the world,

(a) in the invention(s) known as Compositions and Methods for Non-targeted Activation of Endogenous Genes for which application(s) for patent in the United States of America has (have) been executed by the undersigned on July 1, 1999 (also known as United States Application No. 09/276,820, filed March 26, 1999), in any and all applications thereon, in any and all Letters Patent(s) therefor, and

MAC
Reg No. 33851

(b) in any and all applications that claim the benefit of the patent application listed above in part (a), including continuing applications, reissues, extensions, renewals and reexaminations of the patent application or Letters Patent therefor listed above in part (a), to the full extent of the term or terms for which Letters Patents issue, and

(c) in any and all inventions described in the patent application listed above in part (a), and in any and all forms of intellectual and industrial property protection derivable from such patent application, and that are derivable from any and all continuing applications, reissues, extensions, renewals and reexaminations of such patent application, including, without limitation, patents, applications, utility models, inventor's certificates, and designs together with the right to file applications therefor; and including the right to claim the same priority rights from any previously filed applications under the International Agreement for the Protection of Industrial Property, or any other international agreement, or the domestic laws of the country in which any such application is filed, as may be applicable;

all such rights, title and interest to be held and enjoyed by the above-named Assignee, its successors, legal representatives and assigns to the same extent as all such rights, title and interest would have been held and enjoyed by the Assignor had this assignment and sale not been made.

The undersigned inventor(s) agree(s) to execute all papers necessary in connection with the application(s) and any continuing (continuation, divisional, or continuation-in-part), reissue, reexamination or corresponding application(s) thereof and also to execute separate assignments in connection with such application(s) as the Assignee may deem necessary or expedient.

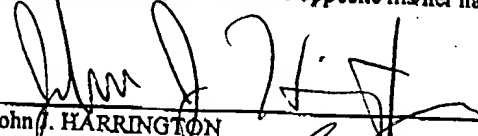
The undersigned inventor(s) agree(s) to execute all papers necessary in connection with any interference or patent enforcement action (judicial or otherwise) related to the application(s) or any continuing (continuation, divisional, or continuation-in-part), reissue or reexamination application(s) thereof and to cooperate with the Assignee in every way possible in obtaining evidence and going forward with such interference or patent enforcement action.

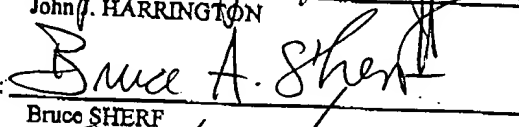
The undersigned inventor(s) hereby represent(s) that he/she has full right to convey the entire interest herein assigned, and that he/she has not executed, and will not execute, any agreement in conflict therewith.

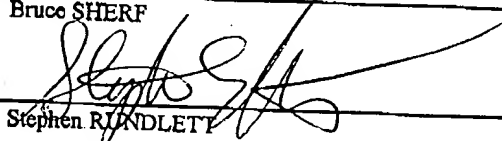
The undersigned inventor(s) hereby grant(s) Robert Greene Sterne, Esquire, Registration No. 28,912; Edward J. Kessler, Esquire, Registration No. 25,688; Jorge A. Goldstein, Esquire, Registration No. 29,021; Samuel L. Fox, Esquire, Registration No. 30,353; David K.S. Cornwell, Esquire, Registration No. 31,944; Robert W. Esmond, Esquire, Registration No. 32,893; Tracy-Gene G. Durkin, Esquire, Registration No. 32,831; Michele A. Cimbala, Esquire, Registration No. 33,851; Michael B. Ray, Esquire, Registration No. 33,997; Robert E. Sokohl, Esquire, Registration No. 36,013; Eric K. Steffe, Esquire, Registration No. 36,688; Michael Q. Lee, Esquire,

Registration No. 35,239; and Steven R. Ludwig, Registration No. 36,203, of STERNE, KESSLER, GOLDSTEIN & FOX P.L.L.C., 1100 New York Avenue, N.W., Suite 600, Washington, D.C. 20005-3934, power to insert in this assignment any further identification that may be necessary or desirable in order to comply with the rules of the United States Patent and Trademark Office for recordation of this document.

IN WITNESS WHEREOF, executed by the undersigned inventor(s) on the date opposite his/her name.

Date: 7/1/99 Signature of Inventor: 
John F. HARRINGTON

Date: 7/1/99 Signature of Inventor: 
Bruce SHERF

Date: 7/1/99 Signature of Inventor: 
Stephen RUNDLETT